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August 11, 1997

Dear Colleague:

I am pleased to announce the FY 1998 Matching Grant Program funded through the Bureau for Humanitarian Response, Office of Private and Voluntary Cooperation (BHR/PVC). This grant program focuses on strengthening the technical and organizational capacity of U.S. Private and Voluntary Organizations (PVOs) and through them, strengthening partnerships with local organizations to achieve sustainable service delivery. Copies of the guidelines and application are available on computer disk by calling (703) 741-0565 or may be downloaded from USAID's website (www.info.usaid.gov). Applications are due in to BHR/PVC by December 5, 1997.

The program purpose and scope, as well as the eligibility requirements and review process, are described in detail in the accompanying Guidelines. This year's Request for Applications (RFA) continues to build on PVC's Strategic Plan for 1996-2000, further detailing the plan's emphasis on partnership, sustainability and managing for results in order to reach our Strategic Objective: increased capability of PVC's PVO partners to achieve sustainable service delivery.

This year's Matching Grant Program embodies three important elements. The first strives to establish and solidify formal partnership agreements that strengthen the institutional capacity of local NGOs. This year's guidelines reflect PVC's continuing commitment to supporting the development of formal partnerships between U.S. PVOs, and local NGOs and other community-based partners to strengthen their capacity. The second focuses on increasing the sectoral capacity of PVOs and their partners to track tangible results in USAID priority areas. The third aspect promotes long-term sustainability of program benefits. Copies of PVC's Strategic Plan will be available at the RFA workshop.

We also invite experienced PVOs which are seeking new avenues for capacity building to consider becoming a mentoring organization. The mentoring component between a small, nascent PVO and one that has received prior Matching Grant funding continues to be an important special consideration this year. Mentoring could range from information sharing, to technical assistance in systems development, to joint venturing by means of a sub-agreement to the

nascent organization.

I hope you will be able to attend PVC's two-day RFA workshop, September 15-16, 1997. The first day has been designed to focus on PVO/NGO partnering and to explore the guidelines for the Matching Grant Program. Day two will feature interactive sessions on PVC's Intermediate Results and on USAID's reengineering and its implications for PVOs and NGOs. There also will be a session on USAID's Procurement Policies and Regulations.

BHR/PVC looks forward to reviewing many fine applications in FY 1998, and I personally look forward to the opportunity to collaborate with you as a partner in development.

Sincerely,

John P. Grant
Director
Office of Private and
Voluntary Cooperation
Bureau for Humanitarian Response

BUREAU FOR HUMANITARIAN RESPONSE
OFFICE OF PRIVATE AND VOLUNTARY COOPERATION
MATCHING GRANT PROGRAM

FISCAL YEAR 1998 APPLICATION GUIDELINES

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BUREAU FOR HUMANITARIAN RESPONSE
OFFICE OF PRIVATE AND VOLUNTARY COOPERATION
MATCHING GRANT PROGRAM

FISCAL YEAR 1998 APPLICATION GUIDELINES

A. BACKGROUND

Strategy Overview of the Office of Private and Voluntary Cooperation

USAID's Office of Private and Voluntary Cooperation (BHR/PVC) is the focal point for the Agency's partnership with U.S. Private Voluntary Organizations (PVOs) and Cooperative Development Organizations (CDOs). BHR/PVC's competitive grants programs provide direct support to the U.S. PVOs and their local partners to address critical needs in developing countries and emerging democracies. These programs include: Matching Grants, Child Survival Grants, Cooperative Development Grants, the Farmer-to-Farmer Program, the Development Education Program, and Ocean Freight Reimbursement. BHR/PVC is responsible for registering U.S. PVOs for the Agency, and is a central contact point in USAID for information on PVO capabilities and programs. The Office is also a key participant in the development of Agency policies and procedures that affect these U.S. organizations.

Each USAID operating unit is guided by its own Strategic Plan that in turn contributes to the Agency's Sustainable Development Goals.

BHR/PVC's Strategic Plan outlines its program directions and provides a framework for all the grant programs funded and administered by the Office. It articulates the specific objectives, strategic approaches and performance measures that will guide the Office's work through the year 2002. PVC's Strategic Plan was developed through a collaborative consultation process involving all PVC staff members, selected representatives from other USAID offices, and many of PVC's partners in the PVO community.

PVC's Strategic Objective (SO) is to "increase the capability of PVC's PVO partners to achieve sustainable service delivery". This

SO builds upon PVC's expertise and historical experience working with U.S. PVOs and CDOs, and reflects its primary mission of strengthening the technical and managerial capacity of these partners to successfully contribute to international development. PVC is uniquely positioned within USAID to build institutional capacity. Over the years, PVC's grants have helped many organizations strengthen their institutional capacities and improve their ability to implement operational programs that USAID and other donors' support.

PVC's SO promotes three distinct elements -- capacity-building, service delivery, and sustainability -- all of which are critical for ensuring the significant impact of the work of PVOs on international development problems. The SO reflects PVC's commitment that improvement in capability will result in tangible improvements in services to people in developing countries and that the benefits of the PVO programs will be sustained over the long term.

Achievement of PVC's SO will lead to its Goal of achieving sustainable development in priority sectors in which USAID is focusing its efforts: Economic Growth; Population and Human Health; Environment; Democracy; Basic Education and Training; and Crisis Avoidance, Mitigation and Relief. PVC's Strategic Plan recognizes that the capacity of PVOs to partner effectively with local organizations will achieve another important outcome: NGO and other local partners strengthened. The Office has incorporated this critical, complementary objective in its plan as a Sub-Goal.

As the objectives of PVC's Strategic Plan indicate, the Office views capacity building within the institutions it supports, not as an end in itself, but as a means of ensuring that its grant programs result in goods and services provided on a sustainable basis to the people of the countries that USAID assists. The wording of its SO emphasizes the "achievement of sustainable service delivery." This reflects the fact that some of PVC's partners still deliver goods and services directly, while others are instead focusing their efforts on the development of strong local capacity for providing these services. Both types of programs contribute to the achievement of PVC's Strategic Objective.

To achieve its Strategic Objective, PVC has identified five Intermediate Results (IRs) that cut across all of the grants programs supported by PVC:

Operational and Technical Capacity of U.S. PVOs Improved

Strengthened Partnership between USAID and U.S. PVOs

Strengthened U.S. PVO and NGO Partnership

Improved Mobilization of Resources by PVC's PVO Partners

U.S. Public Awareness Raised

Given the importance of these results to PVC's strategic plan, all applicants this year are asked to address the question of how their proposed program will contribute to PVC's Strategic Objective and these five intermediate results.

This year's program places special emphasis on strengthening partnerships between U.S. PVOs and local NGOs and other local groups, to build their capacity as effective development organizations. A second key area of emphasis is the adoption of creative approaches to resource mobilization and other strategies to promote long term financial sustainability. A third critical priority is a focus on achieving tangible and demonstrable results and effective performance monitoring.

PVC has selected a set of performance indicators to measure progress toward each of its key objectives (IRs and SO). The Office is in the process of collecting baseline data and establishing targets for each of the performance indicators. Progress toward PVC's targets are reported to the Agency on an annual basis.

Copies of PVC's Strategic Plan are available at this year's RFA Workshop and through the PVC office.

B. PREPARATION AND SUBMISSION OF APPLICATION

All requests for Matching Grant funding for FY 1998 must be made by completing the accompanying application. A single-sided original and fifteen (15) bound, double-sided copies of the application (each with a complete set of the required attachments) are to be submitted to BHR/PVC by December 5, 1997. To conform with USAID's New Management System (NMS), applicants are also required to submit a copy of their proposal on a small diskette formatted for Word Perfect 5.1 for DOS or 5.2 for Windows. The original should be "photo-ready," i.e., printed on one side only and unbound. All attachments and/or supplemental documents must be submitted in English or with an English translation.

The preferred method of distribution of USAID procurement information is via the internet or by request of a 3.5" floppy disk (WordPerfect 5.1/5.2 format). This RFA can be downloaded from the Agency web site. The worldwide web address is <http://www.info.usaid.gov>. Select "Business and Procurement Opportunities" from the home page, then "USAID Procurements". On the following screen, select "Download Available USAID Solicitations". The RFA can also be downloaded via "Anonymous File Transfer Protocol (FTP)". The FTP address is [FTP.INFO.USAID.GOV](ftp://ftp.info.usaid.gov). Logon using the user identification of "anonymous" and the password is your e-mail address. Look under the following directory for the RFA: [PUB/938980158/938980158.rfa](ftp://ftp.info.usaid.gov/pub/938980158/938980158.rfa). Receipt of this RFA through the internet must be confirmed by written notification to the contact person noted above. It is the responsibility of the recipient of this

solicitation document to ensure that it has been received from the internet in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes. If not downloading from the internet, when requesting solicitation include either a 3.5" floppy disk (WordPerfect 5.1/5.2 format) or self-addressed labels and send to the address set forth below under mailing address.

USAID is in the process of consolidating its annexes and moving to the Ronald Reagan Building, 14th Street & Pennsylvania Avenue, NW, Washington, DC. BHR's scheduled moving date is mid-November. PVC will make available their new suite number at the RFA Workshop in mid-September. The addresses below are for the Ronald Reagan Building. If you need further information, please phone (703) 741-0565 for updates. Applications should be sent to:
By Mail: By Courier/Fed Express:

Matching Grant Program
USAID/BHR/PVC
Agency for Intl Development
Washington, DC 20523-Ronald Reagan Building
1300 Pennsylvania Avenue, NW
7th floor
Washington, DC 20004-3002
USAID MISSION SUBMISSION

The Matching Grant Review Committee (MGRC) will evaluate the eligible applications in consultation with USAID field Missions, technical reviewers, USAID Regional Bureaus, and other USAID offices with related interests and expertise. PVC will distribute copies of each application to all reviewers, with the exception of the USAID Missions. It will be the PVO's responsibility to send copies of its Matching Grant Application to USAID Missions in each country where activities are being proposed. The applications must be received by the Missions no later than December 19, 1997. It is highly recommended that applications be sent by DHL or international express mail to the local address for the USAID Mission. Appendix C is a list of mailing addresses for the USAID Missions. Note that the mailing addresses are subject to change. To assure that an address is current, it is advisable to contact the PVO Liaison Officer in the appropriate Regional Bureau in USAID/Washington. A list of Regional Bureau contacts is also provided in Appendix B. Based on the Matching Grant Review Committee's findings, your organization may be required to submit a detailed implementation plan (DIP) within the first six months of the project. All programs will require a business plan within six months of award.

To expedite the proper channeling and review of the application at the USAID Mission, a copy of the application cover sheet, provided as Appendix D of these guidelines, should be fixed securely to your application. You are also strongly encouraged to verify receipt of the application at the Mission since funding of program activities requires Mission approval.

USAID CONTACT

Any subsequent questions concerning these guidelines or the grant program, in general, should be referred to your PVC project officer or to Sallie Jones, Chair of the Matching Grant Review Committee, telephone (703) 741-0565. Written inquiries may be directed to the above address.

C. PROGRAM OBJECTIVES

PVOs are awarded Matching Grants based on their demonstrated capability to implement successful sustainable development programs. The focus of this grant program is to support institutional strengthening of U.S. PVO headquarters and field programs while furthering the development goals and objectives of USAID.

The four major objectives of the Matching Grant Program are:
to expand and strengthen the field programs of U.S. PVOs in order to increase prospects for sustainability and results in program areas that are consistent with USAID policies and priorities;

to assist U.S. PVOs to further enhance their planning systems, management systems and technical competencies to carry out development programs;

to build the capacity of local non-governmental organizations (NGOs), governmental and community-based organizations (CBOs) through formalized partnership agreements with U.S. PVOs; and

to increase U.S. private resources directed to development assistance by matching private contributions on a dollar-for-dollar basis through a combined public and private partnership.

D. ELIGIBILITY CRITERIA

To be eligible for a PVC Matching Grant, an organization must:
be a U.S. PVO registered with USAID;

receive at least 20% of its total annual financial support for its international programs from non-U.S. government sources (or fall within Congressionally-mandated guidelines);

have an established track record (minimum of 3 years) in planning, managing, monitoring and evaluating overseas development programs,

have completed an external evaluation of its programs within the last three years prior to application submission; and

provide at least a 50% U.S. dollar cash match for the proposed program.

E. PROGRAM GUIDELINES

All applications will be reviewed for eligibility against the criteria in Section D above and for conformity and consistency with the specifications outlined in these guidelines and the attached application form. Applications that are incomplete, not in correct format, and/or do not respond to all of the questions in the application will not be considered in this review process.

1. Requirements: All proposed programs must:

a. contribute to the BHR/PVC Strategic Objective of "increased capability of PVC's PVO partners to achieve sustainable service delivery;"

b. be a cohesive part of the overall PVO strategy yet be distinct and measurable for results in their own right;

c. be consistent with targeted host country development priorities and policies;

d. focus resources on the management and support of PVO field programs;

e. be consistent with USAID country-specific program objectives;

f. contribute to broad based economic growth, environment, population and health, and/or democratic pluralism;

g. engage USAID Mission in appropriateness of proposed program for a minimum of two countries and a maximum of six. (A list of countries eligible for Matching Grant assistance is attached as Appendix A);

h. be for periods of either three or five years (NOTE: PVOs that have had no previous grant relationship with PVC will be limited to a grant period of three years); and

i. establish formal partnership agreements that strengthen local institutional capacity with PVOs, NGOs, CBOs, and local governments to design and implement sustainable development projects.

2. Matching Grant Program Priorities: Priority will be given to programs that:

a. are consistent with BHR/PVC's and the PVO's long-term strategic goals and objectives, which result in the PVO's organizational growth to better address overseas development problems;

b. demonstrate strong prospects for sustainability of benefits after Matching Grants program funding is terminated; and

c. target two or more USAID geographic regions (except where the PVO is limited by mandate to a single region).

3. Special Consideration:

PVC is interested in providing PVOs new to the Matching Grant Program with the opportunity to participate through Partnerships with PVOs experienced in the program. Organizations which have successfully implemented a prior matching grant will receive special consideration for including a mentoring component with a small, nascent US PVO working in complementary program areas. This is intended to provide a vehicle for these organizations to gain experience without the full burden of program management. Detailed information should be provided on the roles and responsibilities of each organization. (See Section G in the Application.)

4. Review Criteria:

Competitive applications must have clearly stated objectives for: 1) how institutional capacity will be developed under this program and sustained at its conclusion, and 2) how the results of the program will be measured. The applications will be rated against criteria organized under the following four headings.

History of Organization (5%) (Sectoral commitment and evolution, and relationship of program to broader strategies and PVO goals.)

Program Foundation (20%) (Responsiveness to organization and sustainable development needs. Adherence to Agency and Matching Grant program priorities, coherence, feasibility, innovativeness, focus on local capacity building and formalized local partnerships, and logic of country selection.)

Country-specific Program Activities (40%) (Socio-economic and cultural familiarity, focus on local capacity building, clear critical indicators and targets, mission coordination and program approval, role for women, technical and financial sustainability, integration with other local USAID activities, and prior USAID support.)

Program Management (30%) (Past performance with USAID, PVO technical expertise and financial status, experience in working with local partners, realistic implementation and evaluation plans, strategies to incorporate and disseminate lessons learned, attention to critical issues, and sustainability strategy and comprehensive and appropriate budget.)

Contribution to BHR/PVC's Strategic Objective and Intermediate Results (5%) (How does the proposed program respond to PVC's capacity building objective and intermediate results focusing on: 1) improving operational and technical capacity of U.S. PVOs; 2) strengthening partnerships between USAID and U.S. PVOs; 3) U.S. PVO and NGO partnership; 4) improving the mobilization of resources by PVC's partners; and 5) raising the U.S. public awareness.)

5. Restrictions: The grants will not finance programs which are: academic or basic research oriented;

for construction or commodity procurement;

non-developmental in nature, such as emergency relief activities;
and

sectarian or politically partisan.

6. Financial Guidelines:

Accepted programs generally fall within a range of \$500,000 to \$4,000,000 in USAID funding.

All centrally-funded PVC Matching Grants are cost-shared between USAID and the PVO, with PVC support not to exceed 50% of the estimated total cash costs of the program. Private matching funds are limited to U.S. dollars received or earned and recorded in the financial accounts of the recipient PVO. The match must be cash. In-kind contributions based on USAID Code of Federal Regulations 22, (this replaces OMB Circular A-110 calculations described below), may be applied above and beyond the 50% cash match.

Funds received by the PVO directly from the U.S. Government or USAID intermediaries are not allowable elements of the match but should be identified as sources in the overall budget if they are critical to the program.

Applications should identify all critical sources of support for the program, including private and public cash receipts recorded in the PVO's accounts and in-kind contributions of goods and services and other contributions not recorded in the PVO's accounts but directly supporting its grant program activities.

Criteria for acceptance and allowability for the non-federal contributions are set forth in USAID CFR 22, "Code of Federal Regulations." (Copies of CFR22 may be obtained through the Government Printing Office, Washington, D.C. 20401 or from USAID's homepage, "www.info.usaid.gov", next click on "Business and Procurement", followed by, "US Procurement Regulations (Handbook)", then, "Code of Federal Regulations 22.")

USAID reserves the right to fund, in whole or in part, any or none of the applications submitted in response to this announcement.

F. REVIEW PROCEDURES

[NOTE: To ensure that your application adequately supports achievement of USAID Mission objectives, referred to in Section E.1.f., above, applicants are asked to fully discuss their ideas and planned programs with the USAID program officer and/or cognizant technical officer in the targeted country prior to submission of an application. Evidence of this ongoing dialogue is requested in the Matching Grant Application, Section D, question 29.]

The Matching Grant review process will take 4-5 months to allow time for all USAID input to be assembled and reviewed. USAID may find it necessary to conduct a pre-grant award audit of the PVO's fiscal and management systems and/or to determine an appropriate overhead rate. The entire grant review and approval process, from submission of the application to formal cooperative agreement execution, should be completed within ten months.

G. NEGOTIATION AND AWARD

Authority to Obligate on Behalf of the Government - Final awards will be made by the Agreement Officer. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Cooperative Agreement may be incurred before receipt of either a fully executed Cooperative Agreement or a specific, written authorization from the Agreement Officer.

If recommended for an award, it is the responsibility of the Agreement Officer to make a responsibility determination regarding your organization. Budget negotiations will be conducted using OMB Cost Principles and other USAID Standards that may apply, entailing a breakdown of each line item, and commit to writing all understandings between USAID and the Recipient. The Agreement Officer may request from prospective Recipients additional information regarding the budget figures.

APPENDIX A ELIGIBLE COUNTRY LIST

AFRICA
ANGOLA Bangladesh Benin India Bolivia***Democratic Republic of the Congo (Zaire) Mongolia Dominican Republic**Eritrea Nepal Ecuador Ethiopia Philippines El Salvador Ghana Sri Lanka Guatemala Guinea Guyana Guinea-Bissau**Haiti Kenya Honduras**Liberia
EASTERN EUROPE/Jamaica Madagascar NIS Mexico Malawi Nicaragua Mali**Albania Panama Mozambique Bulgaria Peru Rwanda Romania Senegal*Kazakhstan NEAR EAST
SOMALIA*Tajikistan South Africa*Kyrgyzstan West Bank/Gaza Sudan*Uzbekistan Egypt Tanzania Jordan Uganda**Lebanon Zambia Morocco Zimbabwe
NOTE: This list may be subject to change. We strongly encourage follow-up with the Mission to confirm status prior to proposal submission.* Pending discussion with ENI Bureau for Freedom Support monies.** Due to political uncertainties that may affect USAID's ability to support programs in these countries, PVOs should contact PVC and Missions prior to developing proposals.*** There is currently no USAID Mission. PVOs are strongly encouraged to confirm address with PVC before submitting application.

APPENDIX B

REGIONAL BUREAU CONTACTS

Region

Name

TelephoneAfrica
Sharon Pauling(202) 647-3009Asia/Near East
Jan Emmert (starting 9/29)(202) 712-4122Europe/New Independent
StatesRita Hudson
Mary Lee McIntyre
(202) 647-7626
(202) 647-6320Latin America/CaribbeanDanielle Roziewski(202) 647-
5672

(The above numbers will change due to the move to the Ronald Reagan Building. Please see USAID's homepage at "www.info.usaid.gov" to search the new telephone numbers by clicking on "USAID Phone Directory".)

Please note: As of September 29, 1997, the Bureau Contact for Asia/Near East will be change. Please see above. Presently, Gretchen Bloom is available to answer questions (202) 712-4922. Also, the contact for Latin America/Caribbean has changed (see above) and the number will change when the bureau moves into the Ronald Reagan Building.

APPENDIX C
USAID MISSION ADDRESSES
(LISTED ALPHABETICALLY BY COUNTRY)

USAID REPRESENTATIVE
DIANE BLAINE
USAID/AMERICAN EMBASSY
103 RRUGA E ELBASANIT
TIRANA, ALBANIA

PROGRAM OFFICER
DAVID SPRAGUE
USAID
C/O AMERICAN EMBASSY
MADHANI AVENUE, BARIDHARA
DHAKA, BANGLADESH

USAID REPRESENTATIVE
THOMAS E. PARK
USAID
RUE CAPORAL ANANI
BERNARD, B.P. 2102
COTONOU, BENIN
PROGRAM OFFICER

CARL DERRICK
USAID/BOLIVIA
CALLE 9, NO. 109
OBRAJES
LA PAZ, BOLIVIA

DIRECTOR
VALERIE DICKSON-HORTON

USAID/REGIONAL CENTER FOR
SOUTHERN AFRICA
PLOT NO 14818 LEBATLANE ROAD
GABORONE WEST EXTENSION 6
GABORONE, BOTSWANA

USAID REPRESENTATIVE
EDWARD KADUNC
USAID/AMERICAN EMBASSY
SES AVENIDA DAS NOCES
QUADRA 801, LOTE 3
BRASILIA - DF - 70403-900 BRAZIL

USAID REPRESENTATIVE
JOHN TENNANT
C/O AMERICAN EMBASSY
1 SUBORNA STREET
SOFIA - 1000, BULGARIA

USAID ACTING REPRESENTATIVE
KEITH BROWN, REDSO/ESA
USAID
S/C AMBASSADE DES ETATS UNIS
BUJUMBURA, BURUNDI

DEMOCRATIC REPUBLIC OF CONGO (ZAIRE)
C/O CONGO TASK FORCE
AGENCY FOR INTERNATIONAL DEV'T
WASHINGTON, DC 20523

DIRECTOR
MARILYN ZAK
AMERICAN EMBASSY
USAID/SANTO DOMINGO
LEOPOLDO NAVARRO 12
SANTO DOMINGO,
DOMINICAN REPUBLIC

PVO LIAISON OFFICER
PATRICIO MALDONADO
USAID
1573 AV. COLOMBIA Y QUESERAS
DEL MEDIO
EDIFICIO COMPUTEC
QUITO, ECUADOR

DIRECTOR, EDUCATION, TRAINING & PVO SUPPORT
SALLY PATTON
USAID/SAC/A/CAIRO
CAIRO CENTER BLDG, 9TH FL
106 KASR EL AINI ST
GARDEN CITY

CAIRO, EGYPT

PVO LIAISON OFFICER
PATRICIA RIVAS DE VIEYTEZ
USAID/EL SALVADOR
URBANIZACION Y BOULEVARD SANTA ELENA
ANTIGUO CUSCATLAN
LA LIBERTAD, EL SALVADOR

DIRECTOR
GLENN ANDERS
USAID/ASMARA
34 ZERA YACOB STREET
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CHIEF, HUMAN & INSTITUTIONAL DEVELOPMENT OFFICE
DR. RON BONNER
USAID/ETHIOPIA
(OFF ASMARA RD & BOLE/OLYMPIA)
ADDIS ABABA, ETHIOPIA

MYRON GOLDEN
USAID/GHANA
E45/3 INDEPENDENCE AVE
ACCRA, GHANA

DIRECTOR
WILLIAM RHODES USAID
1 CALLE 7-66, ZONA 9
01009 GUATEMALA
GUATEMALA, C.A.

DIRECTOR JOHN BE. FLYNN
USAID/GUINEA
CAMAYENNE CORNICHE NORD
QUARTIER CAMEROUN
CONAKRY, GUINEA

USAID REPRESENTATIVE
WILLARD PEARSON, REDSO/WCA
USAID
AVENIDA DOMINIGOS RAMOS
C.P. 297
BISSAU, GUINEA-BISSAU

USAID REPRESENTATIVE
PATRICK MCDUFFIE
USAID/MISSION TO GUYANA
263 EARL'S AVENUE

SUBRYANVILLE
GREATER GEORGETOWN, GUYANA

DIRECTOR PHYLLIS DICHTER-FORBES
USAID
#17 HARRY TRUMAN BLVD.
PORT AU PRINCE, HAITI

DIRECTOR
USAID
ELENA BRINEMAN
AVENIDA LA PAZ
FRENTE EMBAJADA AMERICAN
TEGUCIGALPA DC, HONDURAS

HEAD OF OFFICE OF SOCIAL DEVELOPMENT
HEATHER GOLDMAN
USAID/AMERICAN EMBASSY
SHANTIPATH, CHANAKYAPURI
NEW DELHI 110 021, INDIA

DIRECTOR
MARK JOHNSON
USAID/ INDONESIA
JL. MEDAN MERDEKA
SELATAN 3-5
JAKARTA 10110, INDONESIA

DIRECTOR
ROSALIE FANALE
USAID/WEST BANK/GAZA
C/O AMERICAN EMBASSY
71 HAYARKON STREET
TEL AVIV, ISRAEL 63903

PVO LIAISON OFFICER
SAMANTHA DUQHESNAY
USAID/KINGSTON
2 HAINING ROAD
KINGSTON 5, JAMAICA
CARIBBEAN, WEST INDIES

USAID OFFICE
DIRECTOR
LEWIS LUCKE
C/O AMERICAN EMBASSY, ABDOUN

AMMAN, JORDAN

USAID/ALMATY
C/O AMERICAN EMBASSY
97A FURMANOV STREET
480091 ALMATY, KAZAKHSTAN

DIRECTOR GEORGE JONES
USAID
USAID TOWERS
THE CRESCENT, PARKLANDS
NAIROBI, KENYA

DIRECTOR USAID/BISHKEK
C/O AMERICAN EMBASSY
497 FRUNZE STREET APT 11
720040 BISHKEK, KYRGYZSTAN

DIRECTOR
KAREN POE
USAID/MADAGASCAR
IMMEUBLE VONISOA III
AVENUE DOCTEUR RAVOHANGY
ANOSY, ANTANANARIVO, 101
MADAGASCAR

ACTING DIRECTOR
THOMAS LOFGREN
USAID/MALAWI
NICO HOUSE, 1ST FLOOR
LILONGWE 3, MALAWI
PROGRAM OFFICER

RICHARD GOLD
USAID/MALI
IMMEUBLE DOTEMBOUGOU
RUE RAYMOND POINCARRE
& RUE 319
QUARTIER DU FLEUVE
BAMAKO, MALI

USAID REPRESENTATIVE
ARTHUR DANART
USAID/MEXICO

PASEO DE LA REFORMA 305
COL. CUAUHTEMOC
06500 - MEXICO D. F., MEXICO

USAID REPRESENTATIVE
EDWARD BIRGELLS
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ULAANBAATAR, MONGOLIA

DEPUTY DIRECTOR
JAMES HRADSKY
USAID
137, AVENUE ALLAL BEN ABDALLAH
RABAT, MOROCCO

PVO LIAISON OFFICER
SIDNEY BLISS
USAID/MOZAMBIQUE
PROGRAM & ACTIVITY DEVELOPMENT OFFICE
107 RUE FARIA DE SOUSA
MAPUTO (SOMMERSCHIELD)
REPUBLIC OF MOZAMBIQUE

USAID REPRESENTATIVE
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USAID/NAMIBIA
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POST STREET MALL
WINDHOEK 9000, NAMIBIA

PROGRAM OFFICER
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DEPUTY CHIEF
OFFICE OF HUMAN INVESTMENT
JOHN SULLIVAN
USAID/NICARAGUA
PISTA SUB-URBANO DE LOS SEMAFLOS DE LA CENTRO AMERICA DOS CUADROS
ABAJO
FRENTE DE SYSCOM
MANAGUA, NICARAGUA

ACTING DIRECTOR

SALLY SHARP
USAID
S/C AMBASSADE DES ETATS UNIS D'AMERIQUE
BOULEVARD DES AMBASSADES
NIAMEY, REPUBLIQUE DU NIGER

DIRECTOR
ROBERT HELLYER
USAID
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Regional Economic Development Services Offices (REDSO)

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Director
Donald R. MacKenzie
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West & Central Africa:

Director
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Director
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LATIN AMERICA/CARIBBEAN

Regional Office for Central American Programs (ROCAP)

Director, Regional Programs
Erhardt Rupprecht
USAID/ROCAP
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Edificio Plaza Uno
01009 Guatemala City, Guatemala

NEW INDEPENDENT STATES

Director, Regional Mission for Central Asia Republic
Patricia Buckles
USAID/Almaty
c/o American Embassy
97A Furmanov Street

480091 Almaty, Kazakhstan
APPENDIX D
COVER SHEET FOR MISSIONS

Country: _____
USAID Mission Director: _____
Address: _____

FY 1998 MATCHING GRANT APPLICATION

USAID/BHR/PVC has requested that _____(PVO)
provide appropriate USAID Missions with a copy of their application
for PVC's centrally-funded Matching Grant Program, which requests
PVC support for in-country programs. PVC has provided review
guidance to the Missions by cable. Your participation in the
review of these applications is critical and your assistance is
appreciated.

Questions for PVC should be directed to:

Sallie Jones
Chair, Matching Grant Review Committee
BHR/PVC
SA-8, Room 737
Washington, D.C. 20523-0804
(703) 741-0565 or (703) 351-0241
E-Mail sjones@usaid.gov

Questions for the PVO should be directed to:

APPENDIX E

BUREAU FOR HUMANITARIAN RESPONSE
OFFICE OF PRIVATE AND VOLUNTARY COOPERATION
MATCHING GRANT PROGRAM

FISCAL YEAR 1998 APPLICATION

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APPLICATION GUIDELINES4

USAID FORM 424 Attachment A
(Application for Federal Assistance with Instructions)
Notes to the budget
Self Certification Checklist

SUSTAINABILITY METHODOLOGY Attachment B
For Microenterprise Credit Projects (Mandatory)

FISCAL YEAR 1998 MATCHING GRANT APPLICATION

Instructions:

All organizations requesting Matching Grant funding must complete this application, the accompanying OMB Standard Form 424 Budget Request and other required attachments (including the Program Methodology where appropriate). All questions must be answered.

Responses should allow left and right margins which leave enough space to be read when bound. Characters must be in at 12 point font. You may adjust the spacing for responding to each question as you see fit as long as the amount of space used per section does not exceed the following limitations:

- Section A, Program Summary - two pages
- Section B, History of Organization - one page
- Section C, Program Foundation - four pages
- Section D, Country-Specific Program Activity - seven pages per country
- Section E, Program Management - four pages
- Section F, Contribution to PVC Strategic Objective
- Section G, Mentoring Component (optional) - one page

Be sure to fill out Section D (Country-Specific Program Activity) in full for each country program (i.e. there should be one set of responses for each proposed country activity).

Given these constraints, it is incumbent on the soliciting organization to be as succinct, yet comprehensive, as possible in

responding to questions.

Instructions for Standard Form 424

Please see the instructions accompanying SF 424 in Attachment A.

Budget worksheets for headquarters and each proposed country should accompany SF 424.

Refer also to Notes to Budget, provided with Attachment A, for additional guidance.

Note that applicants will be required to submit to USAID's Office of Procurement a Self-Certification letter pertaining to compliance with applicable Federal and USAID accepted policies for personnel, travel and procurement systems (see Attachment A). The Self-Certification letter must be submitted with your Matching Grant Application.

Summary List of Required Attachments Refer to Question

- 1 -- Standard Form 424 with self certification (see instructions above)Att A
- 2 -- Logical FrameworkC11, C12
- 3 -- Program-wide Implementation PlanC12
- 4 -- Organizational Chart and CVs of Key Personnel E36
(specifically limited to the proposed program)
- 5 -- Previous USAID-funded ProjectsE38
- 6 -- List of External EvaluationsE42
- 7 -- Sustainability Methodology for Microenterprise Credit ProgramsAtt B
- 9 -- Letters of support (optional)D27
- 10 -- Letter of commitment from proposed partner(s)D21
- 11 -- Copy of formal partnership agreement(s)D21
(optional, required as part of Detailed Implementation Plan)

NOTE: Please send only attachments that are explicitly requested above. Additional attachments will not be reviewed by the review committee.

FISCAL YEAR 1998 MATCHING GRANT APPLICATION

A. PROGRAM SUMMARY (Two Pages)

A1. Organization, Contact Person, Tel. A2. Address and E-mail Address

| A3. USAID \$ Request | PVO \$ Match | A5. Distribution of AID \$ by Strategic Objective |
|----------------------|--------------|---|
| FY98 \$ | FY98 \$ | Strategic Objective% |
| PCT of AID LOP | | |
| LOP \$ | LOP \$ | Economic Growth |

Population & Health
Environment
Democratic Pluralism

A4. Program Period: (3 or 5 years)

A6. LOP Funding Distribution By Region and Country ('000s)
(This chart should correspond to the figures provided in the program summary budget as Attachment 1.)

| Location | USAID \$ | PVO \$ | TOTAL \$ |
|----------|----------|--------|----------|
|----------|----------|--------|----------|

- a. HEADQUARTERS
- b. COUNTRY (list)

TOTAL (DIRECT COSTS):
INDIRECT COSTS:

TOTAL MG PROGRAM:

A7. TITLE/EXECUTIVE SUMMARY: Describe the program's goal, purpose and sectoral focus. Indicate the extent to which the strategic planning of your organization emphasizes partnership. Identify beneficiary groups and estimate the numbers by gender in each that will be directly affected by your proposed program. Describe the program management organization proposed and the technical and managerial resources at headquarters and in the field which will be assigned to this program. Indicate which of these positions are new for your organization. Identify proposed local partners and how they were involved in the development of the proposal.

B. HISTORY OF ORGANIZATION (One Page)

B8. HISTORY OF YOUR ORGANIZATION. General purpose/goals.

B9. DESCRIPTION OF ORGANIZATION: Describe your domestic and

worldwide activities, method of operation and organizational structure. Indicate your organization's annual budget. Briefly highlight your experience in partnering with local entities and how your organization has helped strengthen these partners.

B10. ORGANIZATION GOALS: Describe the relationship of the proposed program to your organization's present and future goals and how this program will help you reach these goals. How will the program result in organizational growth to better address development problems?

C. PROGRAM FOUNDATION (Four Pages)

C11. PROGRAM GOAL: Broad development objective that is being addressed. (The goal is usually broader in scope than can be reached by any one program, e.g., to increase income and employment among the poor in Latin America.)

C12. PROGRAM PURPOSE(S): What the program is expected to achieve (specific identifiable and measurable result(s)) during the life of the program (e.g., to help local credit affiliates in five countries achieve self-sufficiency in their microenterprise lending programs).

C13. PROBLEMS TO BE ADDRESSED: Undesirable situation which the project will help correct, or key constraints to development which may be lessened or removed by the program.

C14. PROGRAM STRATEGY: How is this project likely to achieve the goal and purpose in C11 and C12? How will the proposed elements of the program methodology contribute to the program purpose? How will the partnership with local organizations contribute to the goal and purpose? What is the strategy for strengthening local partner organizations? (Limit answer to one page.)

C15. RATIONALE FOR UNDERTAKING PROGRAM: Explain in the context of your organization's development philosophy and USAID's policies and priorities as stated in the Guidelines for FY 1998 Matching Grant Application. Discuss the appropriateness of investing intended amounts of scarce resources in the activities identified. Why is the approach chosen in this program recommended over other approaches for addressing the problem?

C16. CRITERIA FOR SELECTION OF COUNTRIES.

C17. PROGRAM FOUNDATION: (For recipients of previous matching grants) How does the proposed program build on the activities and lessons learned in the previous matching grant? How has institutional strengthening contributed to the improved implementation of field programs? For follow-on programs, explain your strategy for replication and scaling up?

C18. LESSONS LEARNED: How have the recent evaluation findings and recommendations been incorporated into the proposed program

design?

[NOTE: A Logical Framework, consistent with the above narrative, including the basic information given in C11 and C12, is to be included as Attachment 2 to the completed application. On the following page is a model for the Logical Framework. A country-by-country detail of the program inputs and outputs is to be given in questions 22-25. Also, provide, in the form of a matrix, a program-wide implementation plan (e.g., a GANNT chart) including main activities of the program. List on the vertical axis the activities and on the horizontal axis give the time frame or dates of their completion. Include training activities, program management, and technical assistance elements and indicate whether these activities are to be accomplished at headquarters, regional office or field level. Include as Attachment 3.] LOGICAL FRAMEWORK (AMENDED)

The logical framework establishes the general project or program goal, purpose, results, outputs, and inputs. The logical framework also identifies a) the different indicators by which success is measured, b) the means of verification of project success, and c) the assumptions, or significant external factors, over which the PVO may have no control, but which are likely to affect the project implementation. The components of the logical framework and the key questions to be asked in each component are summarized below. New this year is a horizontal column for results which should include indicators and measures.

MG applications should treat the logframe as an aggregate portrayal of the program, i.e. the logframe should serve as the summary of all headquarters and country inputs, outputs, and critical indicators combined.

NARRATIVE SUMMARY INDICATOR MEANS OF VERIFICATION ASSUMPTIONS GOAL

What is the overall reason for the project? To what overall objectives will the project contribute?
(reference: question C11)

What indicators will signal the achievement of the goal?

(reference: question D25)

What specific source of data will be used ? What method will be used to obtain it?

(reference: question D26)

What external conditions are essential for the project to make its expected contribution to the program or sector goals? PURPOSE

Briefly state what the project is expected to achieve, if completed successfully and on schedule.

(reference: question C12)
EOPS (end of project status)

Describe the conditions or situation which will exist when the project achieves the stated purpose. Designate an identifiable point (or state) which will be the logical end of the project.

What are the types and sources of evidence to be used in verifying the condition marking the end of project status?

What conditions must exist if the project is to achieve its purpose? What are the factors over which project personnel have little or no control, but which, if not present, are likely to restrict progress from Output to Purpose achievement?RESULTSExpand as appropriate.OUTPUTS

What are the major kinds of results that can be expected from good management of the inputs?

(reference: question D24)

What are the specific cumulative targeted indicators for each of the planned outputs (i.e., How much of what, for whom, by when)?

What are the specific sources of data for each of the indicators, and how are the data going to be obtained? If it doesn't already exist, make provision for funding it under inputs and require it as a condition precedent or as a separate output.

(reference: question D26)

What external factors must be realized to obtain planned outputs on schedule?INPUTS

What are the key inputs, i.e.. staff salaries, consultancies, technical assistance, training, loan funds, equipment, etc.?

(reference: question D22)

For each category of inputs, identify the quantity and/or \$ value by year.

Specify source documents
(records, reports, etc.).

Identify conditions precedent to project implementation for both USAID and the host government.D. COUNTRY-SPECIFIC ACTIVITIES
(Seven Pages Per Country)

[NOTE: The following questions (19-35, 7 pages total) should be copied and filled out with information specific to each country in

which activities are proposed.]

Country

D19. Overview of Country Program (Summary of country-level objectives and activities and their relationship to selected local partners.)

D20. BASELINE DATA ON BENEFICIARIES at the start of the grant support. Identify and quantify beneficiaries (direct and indirect) of program activities. Please disaggregate beneficiary populations by gender. Also provide baseline data on the level of beneficiary development (e.g., production, income, savings, number of groups formed, available resources). Identify the source of the data (e.g., UNDP, PVO's baseline survey, World Bank).

D21. PARTNERSHIP DEVELOPMENT: Describe how the proposed activity will strengthen the local partner organization(s) that will participate in the program. Describe the local partner's program and institutional capability. Indicate the length of your relationship with the partner(s) and describe the nature of the collaboration (informal, structured with written agreements, etc.).

Indicate how your proposed local partner(s) was consulted during proposal preparation. Specify what your local partner(s) will contribute to the implementation of the program. Illustrate how you will strengthen the capability of your local partner(s) and promote its long term sustainability. Detail any electronic linkages or networks that exist between your organization and the local partner(s). Additional necessary information: 1) Include the name of the local partner(s); 2) Address; 3) Year the organization was founded; 4) Mission of the organization; and 5) Brief discussion of the main activities of the organization over the last three years.

Successful submissions may be required to prepare and submit a detailed implementation plan (DIP). In addition, all organizations will be asked to prepare a formal memorandum of understanding (MOU) between the PVO and its local partner(s) and a jointly signed capacity strengthening plan between the partners in the MOU. Both of these documents should clearly describe the nature of the cooperative relationship and demonstrate that the local partner has had a voice in determining the capacity strengthening needs.

D22. INPUTS: Description of logframe inputs, including in-country staffing, technical assistance, and other inputs for each year of the grant.

D23. TRAINING: If training is to be a component of the proposed program, describe how the activities will serve to accomplish program objectives. Also indicate training methodology to be used, anticipated target groups, and plans for follow-up.

D24. OUTPUTS/TARGETS: Description of logframe outputs/targets that will be used in the ongoing monitoring and evaluation of the country program.

D25. CRITICAL INDICATORS to be used in the monitoring and evaluation of the country program (critical indicators must monitor success toward program objectives). (Note: These are to be used in preparing the aggregate logframe.)

D26. MONITORING PLAN: How and when will each of the country-specific critical indicators listed in D25 be investigated?

D27. RELATIONSHIP TO USAID MISSION AND HOST GOVERNMENT'S DEVELOPMENT PRIORITIES: Describe how your program relates to the development priorities of the USAID mission and the host government in the proposed country. If applicable, give a summary of any planned collaboration in your field-level activities with Host Government ministries, Peace Corps, other U.S. PVOs, or other international organizations. (Include letters of support as Attachment 9 (optional), if available).

D28. HOST GOVERNMENT POLICY DIALOGUE: Discuss any efforts being made by your organization to influence, at the local and national levels, government policies that impact your program. In addition, discuss host government actions or approvals that are needed and plans for securing them.

D29. MISSION CONTACT: Status and nature of prior or ongoing discussions with USAID Mission staff. Indicate dates and names of staff contacts.

D30. GENDER: How have/will gender differences been/be addressed in the design, implementation, management and evaluation of the program?

D31. SUSTAINABILITY METHODOLOGY: Describe the processes you will undertake to facilitate a sustainability methodology of the program by addressing the following issues: 1) Approach to Sustainability (What local program services are to be sustained when Matching Grant resources end? What is the strategy to sustain them?) 2) Technical Sustainability (What local technical resources will be developed to replace or expand external ones?) 3) Cost Recovery (What goods or services will the program charge fees for? What actions are necessary to expand cost recovery? How will a market of fee-paying users be developed?) 4) Financial Sustainability (By the end of the Matching Grant what percentage of project costs is targeted to be paid for by local earnings/cost recovery? Give a projection of the volume of services, price, cost and projected income-over-expenses. What are other envisioned sources of program support and how will they be developed?) 5) Organizational Structures and Changes for Sustainability (What policies, values and structures need to be developed within your organization and at what levels to expand self-sustainability? How will you do this?) 6) Management Structures, Systems and Changes for Sustainability (What types of personnel and business management systems and procedures must be introduced or expanded within your organization to improve sustainability?)

D32. PLANNED DURATION OF OUTSIDE SUPPORT of country activities.

D33. ENVIRONMENTAL IMPACT: Describe the process by which environmental impact has been assessed, and possible positive and negative effects which may be created by the proposed program.

D34. YOUR OTHER IN-COUNTRY USAID-FUNDED ACTIVITIES (e.g., Title II Food Aid -- including monetized Title II resources, OPG's, contracts, Child Survival grants). Specify the activities being funded. What is the relationship of the proposed program to these other activities?

E. PROGRAM MANAGEMENT/HEADQUARTERS ACTIVITIES
(Four Pages)

E35. ORGANIZATIONAL EXPERTISE: Previous program experience and staff capabilities which demonstrate your capacity to carry out the proposed activities. (An organizational chart should be provided as Attachment 4, as well as CVs or statements on the qualifications of key personnel, indicating task/position for this program.)

E36. PROGRAM STAFFING PLANS: Individuals/departments responsible for managing this program at your organization's headquarters and in the field. What will be the arrangements for technical backstopping? Include also the division of responsibilities and whether any staff changes are foreseen.

E37. PREVIOUS AND CURRENT USAID-FUNDED PROJECTS undertaken by your organization. List these projects as Attachment 5. Include the USAID source of funds, the amount, and briefly describe each activity.

E38. PROGRAM CONTINUITY: If this program is helping your organization to strengthen your planning, technical, and management capacity in a new program area, how will this capacity be sustained after the grant ends.

E39. PROGRAM FINANCIAL ACCOUNTING: Management information procedure for ensuring accountability in the use of U.S. Government funds and your private match. Describe headquarters/field program budgeting and reporting procedures.

E40. PROGRAM BUDGET NARRATIVE: Narrative discussion of program budget line items, method of estimating costs, and related assumptions. Refer and correlate this narrative to the prepared budget tables that are to be submitted as Attachment 1 to your application. Blank budget sheets are attached to this application form as Attachment A and can be used as models for providing the requested data. If key program cash contributions are coming from sources other than USAID and the PVO, describe the proposed arrangements and the status of the negotiations.

E41. FINANCIAL HISTORY/PROJECTIONS: Discuss your organization's

financial history and projections. Refer and correlate this narrative to the budget table.

E42. EXTERNAL EVALUATIONS (program or project) of your organization which have been completed in the past three years. Provide this information as, giving the dates, and countries, and identifying the evaluators. Provide, as Attachment 6, the Executive Summary and program recommendations of the most recent evaluation of your organization by BHR/PVC, if one has been undertaken, or other recent external evaluation.

F. CONTRIBUTION TO PVC STRATEGIC OBJECTIVE AND INTERMEDIATE RESULTS

F43. CAPABILITY FOR MONITORING AND EVALUATION of the program by your organization. How will the proposed program strengthen your operational and technical capacity? Specifically, how will your organization: 1) Strengthen partnerships between your organization and USAID? 2) Strengthen partnerships between your organization and local NGOs? 3) How will this program improve your organization's mobilization of resources? 4) How will this program convey program results for raising public awareness of its work in developing countries? 5) What are your plans to share this further with the larger PVO community? It is important to note that Matching Grant resources cannot support the costs of public outreach.

G. MENTORING COMPONENT (OPTIONAL)

G44. MENTORING PARTNERSHIP: Describe your proposed mentoring partner. Detailed information should be provided on the roles, responsibilities and accountability of each partner organization. A single award will be made to one recipient with the partner as a sub-recipient. The application should propose the structure that the partner organizations have determined meets their respective needs. Additional information you feel would be important for consideration by this office as it reviews the proposed program. what levels of operation).Attachment A

NOTES TO BUDGET

****PLEASE BE SURE TO PROVIDE BUDGET WORKSHEETS FOR HEADQUARTERS AS WELL AS EACH PROPOSED COUNTRY AS A SUPPLEMENT TO THE STANDARD FORM 424.****

(1) Cost-Sharing Arrangement: The Recipient has agreed to expend from its non-Federal cash funds by the end of the life-of-program (LOP) period the amount of total cost-share/match expenditures specified in the Recipient Share columns of the budget. The Recipient is required to meet the requirements of the Standard Provision of this Agreement entitled "Cost Sharing/Matching". The Recipient is required to report in its annual reports and in the

Financial Status Report Form SF 269 the total amount of cost-sharing/matching to date. Although the Recipient is required to cost share/match on a life-of-program basis, it is also expected to expend those funds on a pro rata basis per year and not wait until the last year of the agreement to expend its cost share match.

(2) Procurement: The Recipient is expected to use its own private cost-share/matching funds for all procurements of nonexpendable property estimated at over \$5000 per unit, for all procurements of motor vehicles (including motor bikes) and for all non-U.S. procurements. This alleviates the requirement for a source/origin waiver and also places the title to property completely in the Recipient's name.

(3) Salaries: The budget line for salaries must reflect levels of effort being supported by the grant, i.e. by title, person days and rate.

(4) Travel: The budget narrative must include a breakout of both domestic and international travel and indicate number and destination of trips, number of persons traveling and number of days per trip.

(5) Cost Basis: The budget narrative should fully explain the basis for the line item costs so that the Grant Officer can easily verify the cost based on the calculations indicated in the narrative. This will obviate the need to request budget clarifications, which delay the processing of the award. The narrative need not cover each individual component of each line item. It may cover groups of items as appropriate. The description of the basis should answer questions like the following:

■are the proposed salaries based on current salaries and are they appropriate for the locality?

■are airfares based on quotes for coach fare?

■are equipment purchase costs based on catalogue prices or supplier quotes?

■are proposed per diems based on established policies?

Attachment A con't

(6) Grant Budget: The budget in the award document will normally have only four (4) cost elements. The budget will be set up as follows:

- (1) Program (or output)*
- (2) Training
- (3) Procurement
- (4) Indirect Costs (overhead)
- Total

* If the Recipient's application has more than one output or program, each output/program would be listed separately. Ordinarily, each instrument supports only one output/objective.

Each Object Class Category (cost element) listed in Block 6 of the SF424A has a notation next to it which indicates the budget cost element into which it will normally fall. (For example: Personnel (1) - shows Object Class Category 6a. Personnel would be in the "Program" cost element.)

NOTE: The Procurement cost element includes anything the Recipient has to contract out for such as consultant services, subcontracts (NOT subgrants), supplies, equipment, evaluation costs that are subcontracted, etc.

The form 424A contains 11 Object Class Categories, including the Total. Recipient costs proposed for Training and Subgrants must be included in the "Other" Object Class Category. The costs proposed for Training and Subgrants must be itemized in the budget notes explanation of the Object Class Categories so that Training may be included in Line Item 2 of the award and subgrants may be included in Line Item 1.

(7) Partners/Subgrantees: Costs must be separated into those assigned to the applicant organization and those for the partner organization which will be shown as a subgrant for purposes of this Cooperative Agreement.

PLEASE NOTE: FORMS CAN BE DOWNLOADED FROM USAID'S HOME PAGE AS FOLLOWS:

http://www.info.usaid.gov/procurement_bus_opp/procurement/forms/
USAID Form 424OMB Approval No. 0348-0043

APPLICATION FOR

FEDERAL ASSISTANCE2. DATE SUBMITTEDApplicant IdentifierN/A1.TYPE OF SUBMISSION:3. DATE RECEIVED BY STATEState Application

IdentifierApplicationPreapplicationN/AN/A Construction

Construction4. DATE REC'D BY FEDERAL AGENCYFederal

Identifier X Non-Construction Non-

ConstructionN/A5. APPLICATION INFORMATIONLegal Name:Organizational

UnitAddress (give only county, state, and zip code):Name and

telephone number of person to be contacted on matters involving

this application (give area code)6. EMPLOYER IDENTIFICATION NUMBER

(EIN):7. TYPE OF APPLICATION: (enter appropriate letter in box)MA.

StateH. Independent School Dist8. TYPE OF APPLICATIONB. CountyI.

State Controlled Institution of Higher Learning X New
 Continuation Revision C. MunicipalJ. Indian TribeIf
 Revision, enter appropriate letter(s) in box(es)D. TownshipK.
 IndividualA. Increase AwardD. Decrease DurationE. InterstateL.
 Profit OrganizaitonB. Decrease AwardE. Other (specify):
 F. IntermunicipalM. Other (specify): PVOC. Increase DurationG.
 Special Dist.10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:9.
 NAME OF FEDERAL AGENCY TITLE:11. DESCRIPTIVE TITLE OF
 APPLICANT'S PROJECT:N/A12. AREAS AFFECTED (Cities, Counties,
 States, etc.):13. PROPOSED PROJECT14. CONGRESSIONAL DISTRICTS
 OF:START DATEEND DATEa. Applicantb. ProjectN/AN/A15. ESTIMATED
 FUNDING:16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE
 ORDER 12372 PROCESS?a. Federal\$b. Applicant\$a.YES. THIS
 PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE
 EXECUTIVE ORDER 12372 PROCESS REVIEW ON:c. StateN/Ad. LocalN/ADATE
 e. Other\$B.NO. x PROGRAM IS NOT COVERED BY E.O. 12372
 x OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEWf.
 Program Income\$g. TOTAL\$17. IS THE APPLICANT DELINQUENT ON ANY
 FEDERAL DEBT? Yes If "Yes", attach an explanation
 No18.TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS
 APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS
 BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE
 APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE
 ASSISTANCE IS AWARDED.a. Type Name of Authorized Representativeb.
 Titlec. Telephone Numberd. Signature of Authorized Representativee.
 Date Signed
 Previous Edition usableStandard Form 424 (REV 4-92)
 Authorized for Local RepresentativePrescribed by OMB Circular A-102

INSTRUCTIONS FOR THE SF 424

Public reporting burden for this collection of information is
 estimated to average 45 minutes per response, including the time
 for reviewing instructions, searching existing data sources,
 gathering and maintaining the data needed, and completing and
 reviewing the collection of information. Send comments regarding
 the burden estimate or any other aspect of this collection of
 information, including suggestions for reducing this burden, to the
 Office of Management and Budget. Paperwork Reduction Project
 (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF
 MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE
 SPONSORING AGENCY.

This is a standard form used by applicants as a required facesheet
 for preapplications and applications submitted for Federal
 assistance. It will be used by Federal agencies to obtain

applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:Entry:

1.Self-explanatory.

2.Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).

3.State use only (if applicable).

4.If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.

5.Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and the name and telephone number of the person to contact on matters related to this application.

6.Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.

7.Enter the appropriate letter in the space provided.

8.Check appropriate box and enter appropriate letter(s) in the space(s) provided:

- "New" means a new assistance award.
- "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.
- "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.

Item:Entry:

9.Name of Federal agency from which assistance is being requested with this application.

10.Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.

11.Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

12.List only the largest political entities affected (e.g., State, counties, cities).

13.Self-explanatory.

14.List the applicant's Congressional District and any District(s) affected by the program or project.

15.Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.

SF 424 Back (Rev. 4-92)

INSTRUCTIONS FOR THE SF 424 (continued)

16.Applications should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernment review process.

17.This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances loans and taxes.

18.To be signed by the authorized representative of the applicant.

A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

SF 424 Back (Rev. 4-92)

USAID Form 424A
Budget Information - Non-Construction Programs

SECTION A - BUDGET SUMMARYGrant Program

Function

or Activity

{a}Catalog of Fderal

Domestic Assistance Number

{b}Estimated Unobligated FundsNew or Revised BudgetFederal

{c}Non-Federal

{d}Federal

{e}Non-Federal

{f}Total

{g}1. HeadquartersNANANANA\$\$\$2. FieldNANANANA3. NANANANANANANA4.

NANANANANANANA5.TOTALSNAAN NA\$\$\$SECTION B - BUDGET

CATEGORIES6.Object Class CategoriesGrant Program, Function or ActivityTotal

{5}Headquarters {1} Field {2} {3}{4} a. Personnel (1)\$\$NANA\$b.

Fringe Benefits (1)NANAc. Travel (1)NANAd. Equipment (3)NANAe.

Supplies (3)NANAF. Contractual (3)NANAg. Construction N/NANAh.

Other (1), (2) (see notes)NANAI. Total Direct Charges (sum of 6a-

6h)NANAJ. Indirect Charges (4)NANAK. TOTALS (sum of 6i and 6j)

\$\$NANA\$7. Program Income\$\$\$\$\$USAID FORM 424A (cont'd)

SECTION C - NON-FEDERAL RESOURCES(a) Grant Program(b) Applicant(c)

State(d) Other Sources(e) TOTALS8. Headquarters\$NA\$\$9. FieldNA10.

NANANANANANA11. NANANANANANA12. TOTAL (sum of lines 8-11)\$NA\$\$SECTION

D - FORECASTED CASH NEEDS13. FederalTotal for 1st Year1st

Quarter2nd Quarter3rd Quarter4th quarterNANANANANANA14. Non-

FederalNANANANANANA15. TOTAL (sum of lines 13 and 14)NANANANASECTION

E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE

PROJECT(a) Grant ProgramFuture Funding Periods(b) First(c)

Second(d) Third(e) Fourth16. Headquarters\$\$\$\$17. Field18.

NANANANANANA19. NANANANANA20. TOTAL (sum of lines 16-19)\$\$\$\$SECTION

F - OTHER BUDGET INFORMATION21. Direct Charges:22. Indirect

Charges:23. Remarks:Authorized for Local ReproductionStandard Form

424 A (Rev. 4-92) Page 2

Standard Form 424A (cont'd.)

INSTRUCTIONS FOR THE SF 424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget. Paperwork Reduction Project (0348-0044), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately show for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Section A, B, C and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a single Federal grant program (Federal Domestic Assistance Catalog number) and not requiring a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a single program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to multiple programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring

the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Column (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 - Show the totals for all columns used.

INSTRUCTIONS FOR THE SF 424A (continued)

Section B. Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i - Show the totals of Lines 6a to 6h in each column.

Line 6j - Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11 - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

U.S. Agency for International Development

CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF
APPLICANT/GRANTEE

1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING
NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

(a) The applicant/grantee hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws,

set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the applicant/grantee is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the applicant/grantee establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the applicant/grantee by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The applicant/grantee recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the applicant/grantee, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the applicant/grantee.

2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

(a) Instructions for Certification

(1) By signing and/or submitting this application or grant, the applicant/grantee is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the applicant/grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For applicants/grantees other than individuals, Alternate I applies.

(4) For applicants/grantees who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

(1)The applicant/grantee certifies that it will provide a drug-free workplace by:

(A)Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B)Establishing a drug-free awareness program to inform employees about--

1.The dangers of drug abuse in the workplace;

2.The applicant's/grantee's policy of maintaining a drug-free workplace;

3.Any available drug counseling, rehabilitation, and employee assistance programs; and

4.The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C)Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D)Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1.Abide by the terms of the statement; and

2.Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E)Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1. from an employee or otherwise receiving actual notice of such conviction;

(F)Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1.Taking appropriate personnel action against such an employee, up to and including termination; or

2.Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or

other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The applicant/grantee shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Alternate II

The applicant/grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency

determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4.The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5.The terms "covered transaction," "debarred," "suspended," "ineligible," lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6.The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7.The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8.A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9.Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10.Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly

enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into.

Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

5. AGREEMENT ON GRANT TERMS AND CONDITIONS

The applicant/grantee certifies that it has reviewed and is familiar with the proposed grant format and the standard provisions applicable thereto, and that it agrees to comply with all such terms and conditions, except as noted below (use a continuation page as necessary):

Solicitation No.

Application/Proposal No.

Date of Application/Proposal

Name of Applicant/Grantee

Typed Name and Title

Signature

Date